

Sheet 1 of 1Substitute Form PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
06501-085001Application No.  
09/937,162**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant  
Yoshihiro Sowa et al.Filing Date  
September 21, 2001

Group Art Unit

**U.S. Patent Documents**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|-----------------|------------------|----------|-------|----------|----------------------------|
|                  | AA        |                 |                  |          |       |          |                            |

**Foreign Patent Documents or Published Foreign Patent Applications**

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |    |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
|                  |           |                 |                  |                          |       |          | Yes         | No |
|                  | AB        | WO 92/05286     | 04/02/92         | WIPO                     |       |          |             |    |

**Other Documents (include Author, Title, Date, and Place of Publication)**

| Examiner Initial | Desig. ID | Document   |
|------------------|-----------|--|
|                  | AC        | Hasegawa et al., "Cloning of a GADD34-like Gene That Interacts with the Zinc-Finger Transcription Factor Which Binds to the p21 <sup>WAF</sup> Promoter", <i>Biochemical and Biophysical Research Communications</i> , Vol. 256(1), pages 249-254 (1999).        |
|                  | AD        | Mo et al., "Down-Regulation of Topoisomerase IIα in CEM Cells Selected for Merbarone Resistance Is Associated with Reduced Expression of Sp3 <sup>1α</sup> ", <i>Cancer Research</i> , Vol. 57(22), pages 5004-5008 (1997).                                      |
|                  | AE        | Dennig et al., "An inhibitor domain in Sp3 regulates its glutamine-rich activation domains", <i>The EMBO Journal</i> , Vol. 15(20), pages 5659-5667 (1996).  |
|                  | AF        | Majello et al., "Sp3 Is a Bifunctional Transcription Regulator with Modular Independent Activation and Repression Domains", <i>The Journal of Biological Chemistry</i> , Vol. 272(7), pages 4021-4026 (1997).  |
|                  | AG        | Lania et al., "Transcriptional Regulation by the Sp Family Proteins", <i>Int. J. Biochem. Cell. Biol.</i> , Vol. 29(12), pages 1313-1323 (1997).   |
|                  | AH        | Majello et al., "Different members of the Sp1 multigene family exert opposite transcriptional regulation of the long terminal repeat of HIV-1", <i>Nucleic Acids Research</i> , Vol. 22(23), pages 4914-4921 (1994).   |
|                  | AI        | Udvardi et al., "Functional interactions between the retinoblastoma (Rb) protein and Sp-family members: Superactivation by Rb requires amino acids necessary for growth suppression", <i>Proc. Natl. Acad. Sci. U.S.A.</i> , Vol. 92(9), pages 3953-3957 (1995). |

Examiner Signature

Date Considered

3/30/07

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

|  |  |                                       |                               |
|--|--|---------------------------------------|-------------------------------|
| Substitute Form PTO-1449<br>(Modified)   | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>06501-085001 | Application No.<br>09/937,162 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary)<br>(37 CFR §1.98(b)) |  | Applicant<br>Yoshihiro Sowa et al.    |                               |
|  |  | Filing Date<br>September 21, 2001     | Group Art Unit                |

| U.S. Patent Documents |           |               |            |          |       |          |                            |
|-----------------------|-----------|---------------|------------|----------|-------|----------|----------------------------|
| Examiner Initial      | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|                       | AA        |               |            |          |       |          |                            |
|                       | AB        |               |            |          |       |          |                            |
|                       | AC        |               |            |          |       |          |                            |
|                       | AD        |               |            |          |       |          |                            |
|                       | AE        |               |            |          |       |          |                            |

| Foreign Patent Documents or Published Foreign Patent Applications |           |                 |                  |                          |       |          |                 |    |
|---|-----------|-----------------|------------------|--------------------------|-------|----------|-----------------|----|
| Examiner Initial  | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation     |    |
|   |           |                 |                  |                          |       |          | Yes             | No |
|   | AF        | 60-149520       | 08/07/1985       | Japan                    |       |          | (Abstract only) |    |
|   | AG        |                 |                  |                          |       |          |                 |    |
|   | AH        |                 |                  |                          |       |          |                 |    |
|   | AI        |                 |                  |                          |       |          |                 |    |

| Other Documents (include Author, Title, Date, and Place of Publication) |           |  |
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| Examiner Initial  | Desig. ID | Document   |
|   | AJ        | Datto et al., "Functional Analysis of the Transforming Growth Factor $\beta$ Responsive Elements in the WAF1/Cip1/p21 Promoter", J. Biol. Chem., 270:28623-28628, 1995                     |
|   | AK        | Nakajima et al., "FR901228, a Potent Antitumor Antibiotic, Is a Novel Histone Deacetylase Inhibitor", Exp. Cell Res., 241:126-133, 1998  |
|   | AL        | Nakano et al., "Butyrate Activates the WAF1/Cip1 Gene Promoter through Sp1 Sites in a p53-negative Human Colon Cancer Cell Line", J. Biol. Chem., 272:22199-22206, 1997                    |
|   | AM        | Sowa et al., "Sp3, but not Sp1, Mediates the Transcriptional Activation of the p21/WAF1/Cip1 Gene Promoter by Histone Deacetylase Inhibitor", Cancer Res., 59:426604270, 1999              |
|   | AN        | Sowa et al., "Histone Deacetylase Inhibitor Activates the WAF1/Cip1 Gene Promoter through the Sp1 Sites", Biochem. Biophys. Res. Commun., 241:142-150, 1997                                |
|   | AO        | Warrell, Jr., et al., "Therapeutic Targeting of Transcription in Acute Promyelocytic Leukemia by Use of an Inhibitor of Histone Deacetylase", J. Nat'l. Cancer Inst., 90:1621-1625, 1998   |
|   | AP        | Xiao et al., "Both Sp1 and Sp3 Are Responsible for p21 <sup>WAF1</sup> Promoter Activity Induced by Histone Deacetylase Inhibitor in NIH3T3 Cells", J. Cellular Biochem., 73:291-302, 1999 |
|   | AQ        | Yoshida et al., "Potent and Specific Inhibition of Mammalian Histone Deacetylase Both <i>in Vivo</i> and <i>in Vitro</i> by Trichostatin A", J. Biol. Chem., 265:17174-17179, 1990         |
|   | AR        |  |
|   | AS        |  |

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